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**Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations**

# Organizational resilience management system: emergency management framework

## Report of the Secretary-General

*Summary*

In its resolution 66/247, the General Assembly took note of the organizational resilience management system approach on the understanding that a follow-up report to be submitted to the Assembly at its sixty-seventh session would present a complete picture of the comprehensive emergency management framework. The present report summarizes the progress made in the implementation of the organizational resilience management system at Headquarters and the introduction of an enhanced comprehensive framework at the offices away from Headquarters and field missions, also indicating how the framework can be extended to the agencies, funds and programmes of the United Nations system.

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# Contents


| | | Page |
|---|---|---|
| I. | Background | 3 |
| II. | Objectives | 4 |
| III. | Scope | 5 |
| IV. | Framework and methodology | 6 |
| V. | Emergency management landscape | 9 |
| | A. Key players | 9 |
| | B. Partnerships | 14 |
| VI. | Governance and accountability | 14 |
| VII. | Implementation | 16 |
| | A. Implementation of the organizational resilience management system at United Nations Headquarters | 16 |
| | B. Implementation of a resilient information and communications technology infrastructure at the United Nations Secretariat in New York | 18 |
| | C. Implementation of the organizational resilience management system at United Nations offices away from Headquarters and field missions | 19 |
| | D. Implementation of the organizational resilience management system at United Nations agencies, funds and programmes | 20 |
| VIII. | Action to be taken by the General Assembly | 20 |
| Annex | | |
| | Organizational resilience management system: implementation guide | 21 |

# I. Background

1. The vulnerability of the global operations of the United Nations, together with the potential impact of the disruption of its peacekeeping and humanitarian operations on the millions of lives that are dependent on them, cannot be overestimated. Any interruption of the Organization's operations could have dire consequences for its constituencies. At the same time, the nature of threats faced by the Organization, including military or terrorist-related incidents, critical infrastructure failures and natural hazard events, has become more variable. As a result, the necessity of effectively managing the impact of and responding to adverse events has become imperative, requiring efforts beyond the scope of the crisis management, emergency response or business continuity planning that have previously been undertaken in the Secretariat, including at United Nations Headquarters in New York and at offices away from Headquarters.

2. Contemporary society faces risk conditions that can be qualified as exceptional, including the threat of transnational networks of terrorist groups that have global reach. There has also been a sea change among the threats faced by the United Nations through its explicit targeting by terrorist groups. Those changes underscore the need to alter the way the Organization plans for and responds to threats.

3. To address those challenges, and in response to the understanding expressed by the General Assembly in its resolution 66/247, the present report proposes a harmonized, integrated and holistic framework for emergency management, building upon the previously introduced framework and extending its scope. The framework, termed the organizational resilience management system, encompasses all risk-based emergency preparedness and response disciplines and represents an evolution of the Secretariat's approach to emergency management and the provision of a "single operational response". This was recognized as a positive step by the Joint Inspection Unit in its audit report entitled "Business continuity in the United Nations system".[1]

4. Emergency preparedness and resilience, essential elements of corporate governance, are of utmost importance when planning and delivering United Nations mandated activities both at Headquarters and in the field. Recognizing this, in 2010 the senior emergency policy team approved a proposal to pilot an organizational resilience management system approach at United Nations Headquarters. The framework has since emerged from the pilot phase stages and has been further developed. Based on international standards and best practices, the framework is intended to ensure that the Organization is better prepared to anticipate, prepare for, respond to and recover from serious disruptive incidents (emergency, crisis or disaster) through the harmonization and alignment of its different preparedness activities. In general terms, implementing an emergency framework enhances the ability of organizations to manage the risks of potentially disruptive events through anticipation, prevention, protection, mitigation, response and recovery.

[1] A/67/83.

## II. Objectives

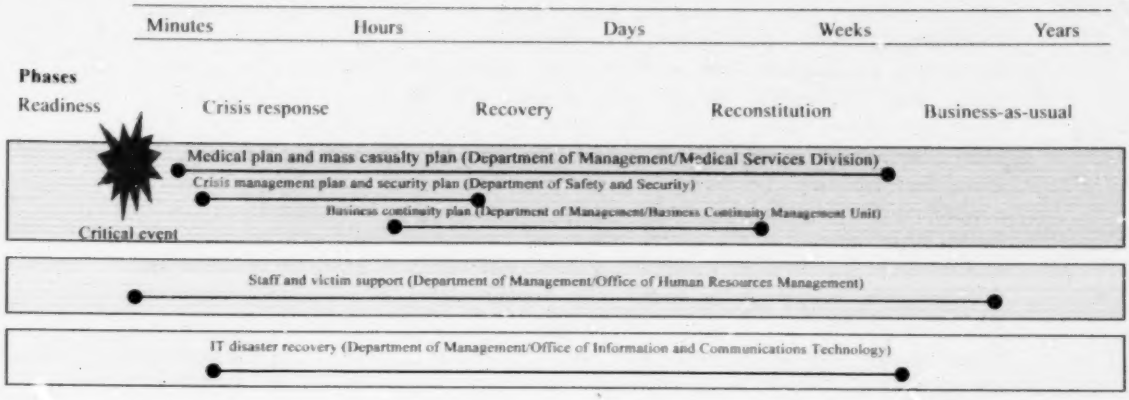
5. The main objective of the organizational resilience management system is to establish a comprehensive approach to emergency management, ranging from preparation to response and recovery. Specifically, the system provides an emergency management framework, which integrates emergency planning and preparedness prior to a critical event, including subsequent actions that address organizational crisis response, continuity and recovery. Implementing the system based on best practices will allow the United Nations to better prepare for and respond to disruptive events and, in some cases, to preclude or inhibit those events from intensifying into emergency, crisis or disaster situations.

6. Prior to the implementation of the organizational resilience management system, emergency management efforts at the Secretariat were comprised of separate planning initiatives led by different departments: crisis management, incident response planning and critical incident stress counselling (led by the Department of Safety and Security), business continuity and medical planning intervention and support and support to staff and survivors of malicious acts, natural disasters or other emergencies (led by the Department of Management) and information technology (IT) disaster recovery planning (led by the Department of Management). There was no framework under which the different emergency management planning initiatives could be coordinated from the planning to the response and recovery phases. Most United Nations locations had implemented a form of crisis decision-making structure (with numerous variations) for the activation of the different emergency preparedness plans.

7. While the comprehensive emergency planning framework continues to be a work in progress, it is envisaged that, for the Secretariat, the organizational resilience management system will allow for the adoption of common policies and procedures, governance and activation mechanisms, thereby avoiding a "silo" approach to emergency management wherein Secretariat entities develop emergency plans that do not take into account their relationships, linkages and mutual dependencies. The framework also provides the Organization with a means to monitor the ongoing different preparedness activities.

8. The different emergency management plans that are associated with all the aspects of the emergency management system can be seen as interlinked and mutually dependent (see figure I). Figure I describes the response phases after a critical event. Minutes after a critical event has occurred, the United Nations implements the crisis response through the exercise of the crisis management plan as well as the medical plan and/or mass casualty plan, if needed. Subsequently, the IT disaster recovery plan is put into operation, if needed. This phase is called the "crisis response phase". After a few hours, the recovery phase is initiated and the business continuity plan is started up, as required. This phase can take several days. Once the recovery phase is concluded, the Organization is moved into the reconstitution phase, during which most operations are restored, that is, until the Organization has returned to normal operations — the "business-as-usual" phase. The staff and victim support component of the organizational resilience management system is also called upon at the beginning of an event, if needed, although this aspect can take years, depending on how long possible victims of a crisis event need to be supported.

Figure I
**Organizational resilience management system plans and timeline**




9. Most major crises, such as the earthquake that struck Chile in February of 2010, require the activation of several different emergency management plans. For example, in response to the earthquake the Economic Commission for Latin America and the Caribbean (ECLAC), headquartered in Santiago, had to activate its incident response plan, crisis management plan, mass casualty plan, business continuity plan and IT disaster recovery plan almost simultaneously. Having recognized the importance of close coordination between the different emergency management sections and having conducted several exercises involving several aspects at the same time, the crisis management structure of ECLAC was able to activate the different plans in a coordinated manner.

10. Locations that have not yet recognized the importance of the close coordination between the different entities involved in emergency management will benefit substantially from the adoption of the organizational resilience management system, which will codify interlinkages and prescribe clear procedures of governance and coordination to facilitate the simultaneous activation of the crisis response plans for multiple activities. The system will support the establishment of workflows and procedures for common processes of the individual activities, including risk assessment, the development of risk management actions and plan maintenance, exercise and review, in order that they can be jointly conducted in a coordinated manner.

11. To summarize, the establishment of an integrated framework for the Secretariat will improve the management of operational risks and establish policies, processes and procedures relevant to enhancing preparedness, response, continuity and recovery in the case of adverse events. It will yield the following benefits: enhanced risk management; improved crisis decision-making; and harmonization of the approach to emergency management.

## III. Scope

12. Organizational resilience management system, the comprehensive emergency management framework, has been implemented at Headquarters. After its successful

implementation, it is recommended that this approach be extended to offices away from Headquarters and field offices.

13. Experience gained during the inter-agency pandemic planning and business continuity planning exercises points to the potential value of adopting a common emergency management framework in coordination with the specialized agencies, funds and programmes. While the necessity of integrating the elements of emergency preparedness in order to improve resilience to adverse events and to reduce the burden on field offices by realizing economies through the integration of emergency planning exercises has been recognized, efforts can be strengthened to coordinate emergency management on a system-wide basis. In response to a request by Member States for "a comprehensive and coordinated approach to emergency management, including preparedness and support based on close cooperation and the sharing of best practices and lessons learned among relevant units, agencies, funds and programmes",[2] efforts will be undertaken at the appropriate inter-agency level, together with the Department of Safety and Security, to ensure both a common understanding of the existing emergency management framework and integration between business continuity plans, to be led by the Business Continuity Management Unit in the Department of Management, and crisis management plans, to be led by the Department of Safety and Security on behalf of the United Nations security management system.

## IV. Framework and methodology

14. The International Organization for Standardization[3] defines a risk management framework as a set of components that provide the foundations and organizational arrangements for designing, implementing, monitoring, reviewing and continually improving risk management throughout the organization. That definition encompasses policy, objectives and mandates, as well as preparedness plans, accountabilities and resources. According to the final draft international standard on risk management, a framework must also be embedded within an organization's overall strategic and operational policies and practices.

15. The American Society for Industrial Security[4] has issued organizational resilience standards in 2009. In that publication, the advantages of the implementation of an emergency management system in providing tools for the continual improvement of security, preparedness, response, continuity and resilience are viewed as a whole. According to the Society, the implementation of organizational resilience provides confidence to an organization and its customers in that it provides a safe and secure environment, fulfilling both organizational and stakeholder requirements.

16. Using the above-described standard as the basis, the organizational resilience management system would be composed of the following five consecutive steps:

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[2] Resolution 64/260, para. 6.

[3] International Organization for Standardization/Final Draft International Standard (ISO/FDIS 31000) Risk management: Principles and guidelines.

[4] American Society for Industrial Security (SPC.1-2009) Organizational Resilience: Security, Preparedness, and Continuity Management Systems Requirements with Guidance for Use.

1. Policy establishment;
2. Planning:
   A. Risk and impact assessment;
   B. Establishment of objectives and targets;
3. Implementation:
   A. Assigning roles and responsibilities;
   B. Identification of necessary resources;
   C. Maintenance, exercise and review;
4. Evaluation;
5. Management review.

17. The first step for the United Nations is to develop an organizational resilience management system policy that details the precursors, the purpose, the implementation process, outcomes and deliverables and to obtain the approval of the initiative from senior management. The commitment of senior management to the organizational resilience management system initiative is considered essential for its successful implementation, including the provision of sufficient resources.

18. Once the policy is adopted, the United Nations would move to the planning phase as the second step. In the course of planning, a risk assessment of the natural, political, social, security (the Department of Safety and Security has a process in place to conduct a security risk assessment) and technological environment that could disrupt United Nations operations at a given location would be conducted. This also includes assessing the impact of the risks, should they materialize. As part of the outcome of the risk and impact assessment process, a prioritized list of risks with associated actions to prevent or mitigate their impact would be established and linked to a programme for action. Based on the outcome of the risk and impact assessment and consistent with the organizational resilience management policy, measurable objectives and targets would need to be established for the programme, including: the designation of responsibility and resources for achievement of the objectives within the Organization; and the consideration of legal requirements, business continuity requirements and stakeholders' needs.

19. The third step constitutes the implementation phase, which commences with the identification of roles and responsibilities within the organizational resilience management system. In order to ensure effective implementation, roles and responsibilities need to be defined, documented and communicated to senior management. Equally important at that stage is the identification of resources, including human resources, financial resources, equipment and infrastructure. For example, in order to ensure completion and coherence of risk management actions, they must be included in the budgets of the respective Departments and their implementation status must be tracked by an appropriate structure.

20. This phase also includes a structured maintenance, exercise and review regime and a communications plan to elicit the behavioural change necessary to ensure that the Organization incorporates resilience measures into its day-to-day activities and that staff possess the requisite skills to execute their responsibilities in an emergency. The maintenance, exercise and review regime provides the Organization

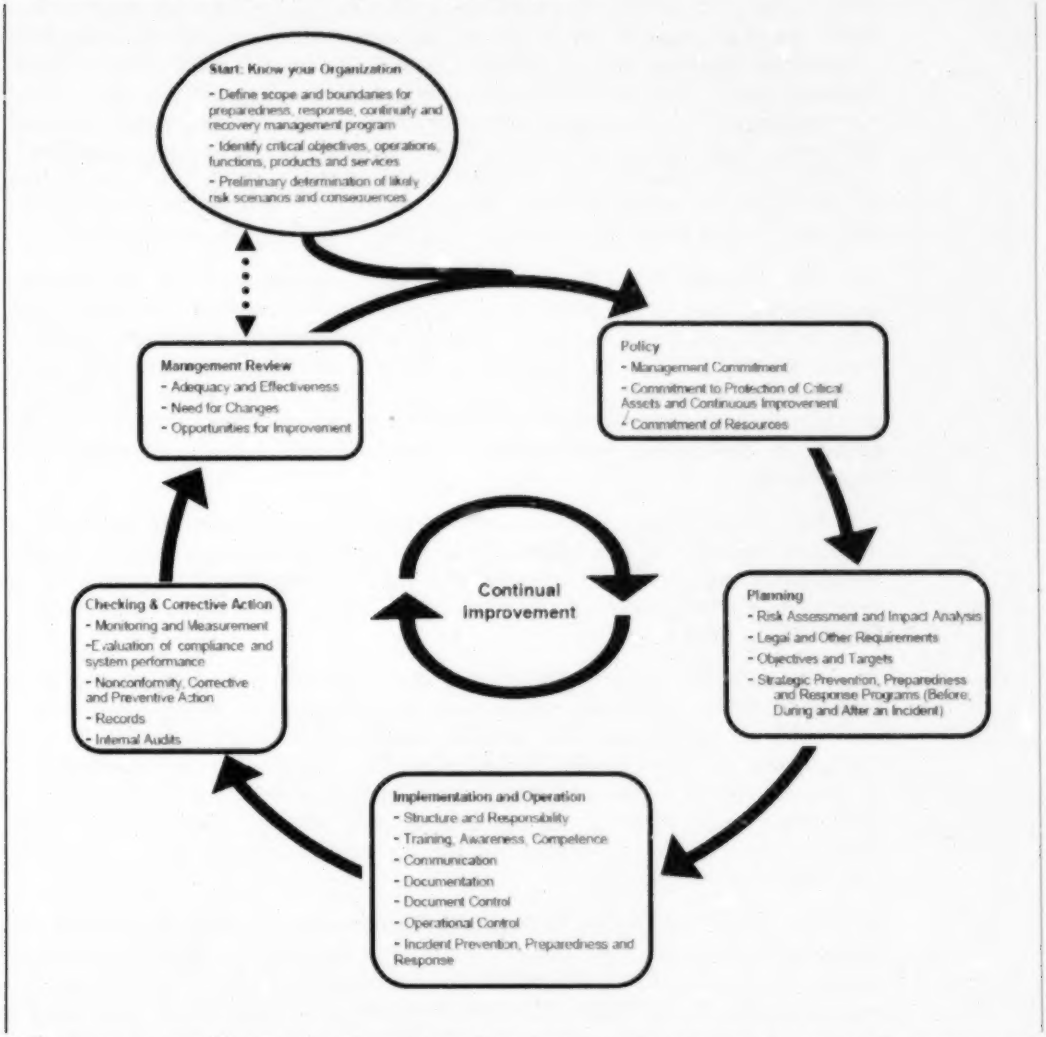
with valuable lessons learned, thereby assisting with the revision of the risk assessments of different response plans, while validating in-place controls, standard operating procedures and recovery strategies. To aid continual improvement, the regime should be paired with a structured follow-up mechanism to track identified gaps and variances, and the corrective actions required to address them. The communications plan would raise awareness and harmonize key messages with regard to the emergency management framework, utilizing regular United Nations communication channels, including iSeek, reports and official documents.

21. A comprehensive evaluation of the organizational resilience management system programme will be conducted in step four. This step will use the feedback from the maintenance, exercise and review regime as a main resource. Specifically, tests, exercises and simulations will provide the United Nations with detailed after-action reports that will be used to evaluate the effectiveness of programme implementation. The after-action reports will also be used to identify appropriate follow-up actions to improve and revise identified weaknesses in the preparedness plans.

22. Step five completes the organizational resilience management system cycle with the management review. The senior management of the Organization needs to conduct properly documented reviews of the progress of the implementation of the organizational resilience management system at regular intervals in order to determine areas that require improvement and revision.

23. The organizational resilience management system cycle is depicted in figure II. The principles of the cycle apply at all levels of the Organization, including departments, individual offices and sections. The cycle is based on the understanding that an emergency management system, such as the organizational resilience management system, is improved and maintained in a continuing process.

Figure II
**Organizational resilience management system cycle**[a]


Start: Know your Organization
- Define scope and boundaries for preparedness, response, continuity and recovery management program
- Identify critical objectives, operations, functions, products and services
- Preliminary determination of likely risk scenarios and consequences
Policy
- Management Commitment
- Commitment to Protection of Critical Assets and Continuous Improvement
- Commitment of Resources
Planning
- Risk Assessment and Impact Analysis
- Legal and Other Requirements
- Objectives and Targets
- Strategic Prevention, Preparedness and Response Programs (Before, During and After an Incident)
Implementation and Operation
- Structure and Responsibility
- Training, Awareness, Competence
- Communication
- Documentation
- Document Control
- Operational Control
- Incident Prevention, Preparedness and Response
Checking & Corrective Action
- Monitoring and Measurement
- Evaluation of compliance and system performance
- Nonconformity, Corrective and Preventive Action
- Records
- Internal Audits
Management Review
- Adequacy and Effectiveness
- Need for Changes
- Opportunities for Improvement
Continual Improvement

[a] American Society for Industrial Security (SPC.1-2009) Organizational Resilience: Security, Preparedness and Continuity Management Systems.

# V. Emergency management landscape

## A. Key players

24. Emergency management functions at the Secretariat are shared between the Department of Safety and Security and the Department of Management. The Department of Safety and Security is responsible for incident response (Safety and Security Services) and crisis management. The Department of Management is responsible for IT disaster recovery (through the Office of Information and

Communications Technology), for business continuity (through the Office of Central Support Services), for medical planning and for staff and family support (through the Medical Services Division and other Divisions of the Office of Human Resources Management). The organizational units that are involved in emergency management cooperate closely together. More details on the responsibilities of the different departments and offices are provided below. Recognizing that all the departments of the Organization work together in a coordinated way to achieve emergency preparedness and to bring their specialized expertise to bear, different departments have leading roles in different preparedness plans. The annex to the present report provides an overview of the actions of the individual departments and offices mentioned above with regard to the emergency management framework.

25. The Department of Management, in close consultation with the relevant departments involved in emergency management (Department of Safety and Security, the Department of Peacekeeping Operations and the Department of Field Support), serves as the lead department for the development, coordination and integration of organizational resilience management system policy and planning procedures. It is also responsible for providing assistance in implementing the system to departments and offices at Headquarters and offices away from Headquarters.

26. Upon request, the Department of Management will also provide assistance in the implementation of the organizational resilience management system at field operations to the Department of Political Affairs, the Department of Peacekeeping Operations, the Department of Field Support and the Office for the Coordination of Humanitarian Affairs.

27. Within the Department of Management, the Business Continuity Management Unit in the Office of Central Support Services is responsible to provide guidance and hands-on support for the business continuity planning process, both at Headquarters and offices away from Headquarters. The Unit has also worked with the Departments of Political Affairs, Peacekeeping Operations and Field Support to fulfil their responsibilities for introducing the required business continuity framework and tools and developing the capacity required to sustain business continuity in field operations.

28. The Office of Human Resources Management of the Department of Management hosts the Emergency Preparedness and Support Team, a dedicated team established in 2010 in the aftermath of the Haiti earthquake, which provides and coordinates the provision of essential support to staff of the United Nations system, including the survivors and the families of those who perish or are injured as a result of malicious acts, natural disasters or other emergencies. Since its establishment, the team has been active on a variety of fronts in accordance with its mandate which spans preparedness, support during an emergency event and post-emergency response.

29. The Emergency Preparedness and Support Team has developed a communications strategy, endorsed by the Secretary-General's Policy Committee, the highest decision-making body within the Secretariat, in its decision 2010/26 on support to survivors and affected families, to inform staff and others of the improvement made in services for survivors and affected families. The strategy communicates the United Nations efforts to support and exercise its duty to care for staff and their families and articulates the institutional importance placed on health,

safety, security and well-being. The team's communications strategy has been devised not only to inform the stakeholders, including staff of the United Nations system at large, including affected staff members and surviving families, of the improvements made in services but also to change their behaviour by suggesting actions that should be taken to prepare the United Nations community for emergencies. To address the wide ranging and distinct groups for which it is responsible, the Emergency Preparedness and Support Team has developed several communications channels, including a website, handbooks, brochures, and articles, which promote factual, action-inspiring, compassionate and inclusive messages.

30. As stated in a report of the Secretary-General on the Emergency Preparedness and Support Unit (A/64/662), the Emergency Preparedness and Support Team maintains a website to communicate, in a timely manner, to those who are ailing, whether physically, emotionally or financially, as a result of their service to the Organization, that there are mechanisms and people who can help them. The site provides information on benefits and entitlements related to emergencies, including: what kind of assistance is available to injured staff and families following the death of a loved one; what staff and families should expect following an injury and/or death of a loved one; and numerous frequently asked questions. The website is also a gathering place for emergency support volunteers, family focal points and call centre volunteers, human resources specialists and staff at large.

31. Recognizing that emergency preparedness capacity is built from the ground up, the Emergency Preparedness and Support Team has developed several initiatives to empower staff to prepare themselves both personally and professionally for emergencies: personal preparedness is professional preparedness. Staff members will be ill-equipped to function professionally at their workplace during and after an emergency unless they have emergency plans in place for their own families. A suite of training modules incorporating international best practices, on self-preparedness, through partnerships with academia (the Institute of Disaster Management and Mental Health of the State University of New York), the aviation sector (the crises management programme run by Jet Blue) and non-governmental organizations (the International Committee of the Red Cross), manager's toolkits to support staff during emergencies and a four-day programme for emergency support roles (family focal points and call centre volunteers), have been developed and are being implemented across the Organization, both at Headquarters and offices away from Headquarters. As a scale-up strategy, the training programmes will be rolled out to field operations, in partnership with the Department of Field Support, in the third quarter of 2012. The objective of the training initiatives is to equip staff in responsible roles and to build capacity at individual duty stations, including skills and knowledge in the fields of emergency preparedness, response and follow-up support for survivors. The training sessions that incorporate international best practices are complemented by the United Nations internal resources and expertise from the Critical Incident Stress Management Unit of the Department of Safety and Security and the Staff Counsellor's Office of the Department of Management.

32. Since information-sharing is pivotal both during and after emergencies, the Emergency Preparedness and Support Team has developed a database management system to address a multitiered response to emergencies where medical professionals, stress counsellors, administration leadership and human resources officers can share time-sensitive information. The team gained the support of the relevant stakeholders who will be the users of the system. The Department of Field

Support has fully adopted this concept and is eager to launch the database at its peacekeeping missions.

33. The intervention of the Emergency Preparedness and Support Team during crises events includes the activation of the family focal point network (a cadre of designated staff trained to serve affected families and injured staff and serving as the preliminary interface in navigating the United Nations system, including counselling referrals, compensation, benefits and human resources issues, intervention with the Medical Services Division, support with transfer of remains and property and funeral arrangements) and the establishment of a call centre with a trained pool of "call centre volunteers" ready to provide information during crisis/emergency situations. Since its establishment in 2010, the team has partnered with the Field Personnel Division of the Department of Field Support to respond to the terrorist attacks in Mazar-e-Sharrif, Afghanistan in 2011 and in response to the United Nations aircraft crash in Kinshasa in 2011, and it provided technical support to the United Nations community during the terrorist attack against the United Nations premises in Abuja, Nigeria in the same year. In the post-emergency response phase, the team coordinates the provision of long-term continuing support to survivors and affected families to ensure that they continue to receive the necessary attention and that action is taken to address their needs, including the expeditious settlement of compensation claims and access to the United Nations memorial and recognition fund, as well as the coordination of the Secretary-General's annual memorial event recognizing United Nations personnel who have lost their lives in service throughout the common system.

34. The Office of Human Resources Management will undertake a review of the workflows and activities of the Emergency Preparedness and Support Team. Identified needs for additional resources for the team as a result of the review will be considered in the context of the Secretary-General's overall proposed programme budget for the biennium 2014-2015.

35. The Medical Services Division in the Office of Human Resources Management is responsible for providing direct medical support to Headquarters and for providing all United Nations duty stations with policy, guidance, support and training on both mass casualty incidents and public health emergencies. This entails proactive assistance to the United Nations system as a whole in developing, implementing, maintaining and testing emergency guidelines and plans.

36. In addition, the Medical Services Division at Headquarters also coordinates the preparatory and response work of the United Nations Medical Emergency Response Team, an inter-agency standby cadre of trained doctors, nurses and emergency medical technicians from organizations of the United Nations system who have volunteered for deployment to crisis sites. The team is primarily deployed to assess and monitor the medical needs of all staff of the United Nations system and their dependants, irrespective of employing organizations, and to supplement local medical services, if needed, in critical areas. The Division not only coordinates and supports the deployment of the team in the immediate aftermath of an incident, it also assists team members worldwide by providing them with necessary medical supplies and emergency equipment, as well as medical emergency skills training for all team members.

37. The Department of Safety and Security oversees the security management system, including security planning, crisis management and psychosocial

coordination, including their integration into the organizational resilience management system, through the Critical Incident Stress Management Unit. The Headquarters Security and Safety Service of the Department of Safety and Security provides crisis planning capabilities and is responsible for crisis management plans, security and contingency plans for Headquarters and offices away from Headquarters. The Division of Regional Operations is responsible for the coordination of contingency planning, crisis preparedness and response at United Nations duty stations in the field, identifying possible crisis scenarios, plans of action, response strategies and required resources, as well as coordinating crisis management actions with United Nations departments, agencies, funds and programmes affected by crisis situations. At the request of the regional desks of the Division of Regional Operations (Africa, Europe/Americas, Asia/Pacific, Middle East/North Africa, Peacekeeping Operations Support Section), the Threat and Risk Assessment Unit within the Division provides independent oversight in reviewing security risk assessments, including reviews of content and employed methodologies.

38. The Critical Incident Stress Management Unit of the Department of Safety and Security coordinates the global counselling response during emergencies, in collaboration with United Nations counselling partners, to ensure that all United Nations staff members and their families are reached. The Unit also conducts needs assessments and provides technical support and advice on how to mitigate the stress of critical incidents, including how such incidents should be addressed by senior managers within the United Nations system. In peace settings, the Unit provides preventive stress management training to all United Nations staff, including peer helpers and family focal point and call centre volunteers (see para. 33 above), with the aim of promoting enhanced coping skills and stress resilience among United Nations staff. As the chair of the Inter-Agency Working Group on Critical Incident Stress, which was created in 2005 in response to the recommendation of the Inter-Agency Security Management Network, the Critical Incident Stress Management Unit promotes policies and coordination of critical stress management procedures, thus ensuring that quality services are provided to all staff throughout the United Nations system.

39. As described in the reports of the Secretary-General on the enterprise content management and customer relationship management systems and proposal for a unified disaster recovery and business continuity plan (A/64/477) and enterprise information and communications technology initiatives for the Secretariat (A/66/94), the responsibility of the Office of Information and Communications Technology is to establish broad principles and develop a programme of work on disaster recovery, which is concerned with planning for the resumption of information and communications technology (ICT) services for critical technology support after a disruption that adversely impacts critical business functions of the Organization. This includes a joint effort with all units to identify critical applications that must be resilient and available in a timely fashion after a crisis.

40. Other departments work with the lead departments identified above (the Department of Safety and Security and the Department of Management) and participate in the preparation of the overarching preparedness plans of the United Nations and the plans for their own departments or offices. Departments with a field presence are responsible for preparing and executing, as necessary, preparedness

plans for all offices, operations and/or missions falling under their direct responsibility.

41. United Nations Headquarters is in the course of establishing the United Nations Operations and Crisis Centre, comprising personnel from the Department of Peacekeeping Operations, the Department of Safety and Security, the Department of Political Affairs, the Office for the Coordination of Humanitarian Affairs, the Department of Management and the United Nations Development Programme (UNDP), with the aim of providing support to senior leaders across the system to enable informed, coordinated and timely decision-making and strategic engagement on operations and crisis-related issues. The Centre will have a role with regard to the organizational resilience management system that will be developed when the Centre becomes operational in December 2012.

### B. Partnerships

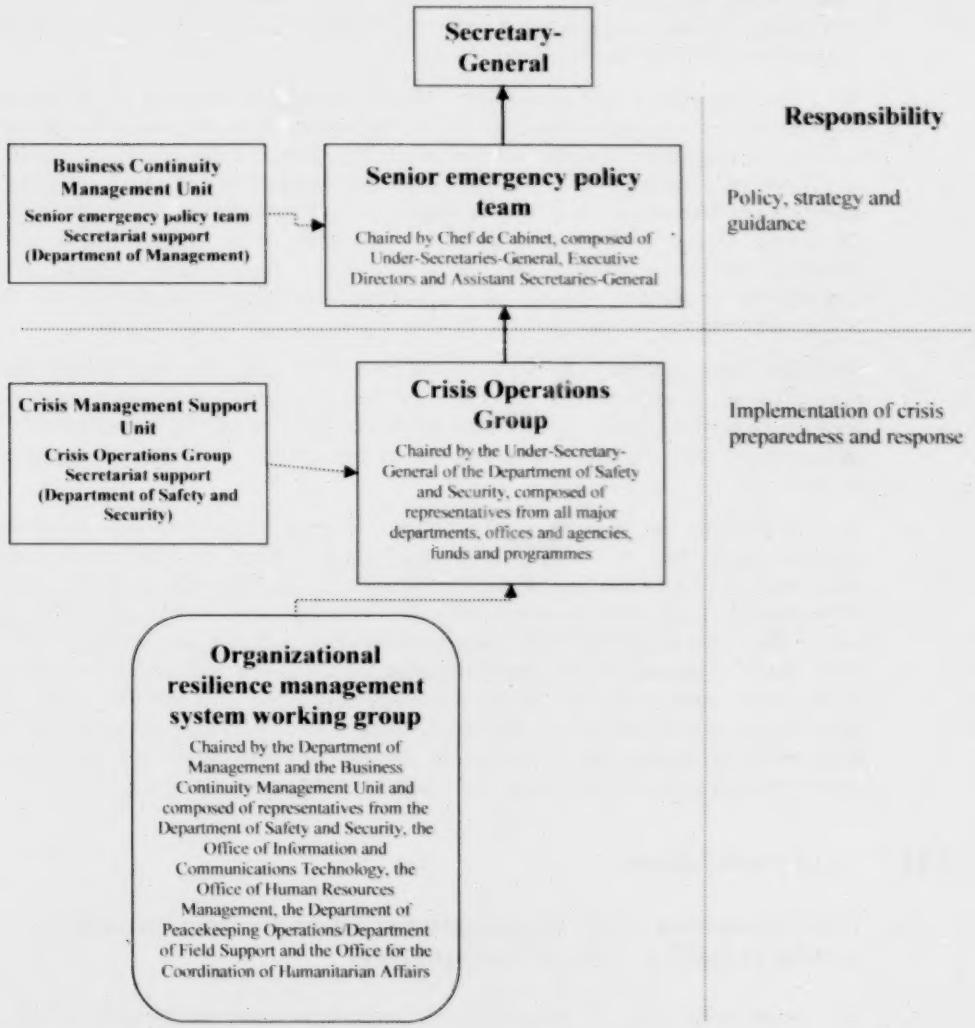
42. The successful implementation of the organizational resilience management system at the Secretariat and across the United Nations system will be strengthened by successful partnerships. Partnerships will allow the Organization to not only develop best practices with other United Nations entities, civil society, the private sector and Governments at various levels, but also to identify opportunities to integrate capacities to address vulnerabilities and enhance communications. A current example of such a partnership is the participation of the Secretariat in and its support of the "Towards a Safer World" global initiative, the objective of which is "to capture the lessons that were learned from preparing for an influenza pandemic, and inspire leaders to apply those lessons and best practices to continuing and emerging threats".[5]

## VI. Governance and accountability

43. An effective governance structure is needed in order for the organizational resilience management system to be implemented properly. Accordingly, the strategy, policymaking, governance and oversight functions for emergency management would be performed by the senior emergency policy team, which is chaired by the Chef de Cabinet and comprised of senior management of most departments of the Secretariat as well as high-level representatives from the specialized agencies, funds and programmes based in New York. It is supported in its responsibilities in the area of emergency management by the Business Continuity Management Unit of the Department of Management. The governance mechanism for the organizational resilience management system at Headquarters is shown in figure III below.

[5] http://www.towardsasaferworld.org/.

Figure III
**Governance mechanisms for the organizational resilience management system at Headquarters**


Secretary-General
Responsibility
Business Continuity Management Unit
Senior emergency policy team Secretariat support (Department of Management)
Senior emergency policy team
Chaired by Chef de Cabinet, composed of Under-Secretaries-General, Executive Directors and Assistant Secretaries-General
Policy, strategy and guidance
Crisis Management Support Unit
Crisis Operations Group Secretariat support (Department of Safety and Security)
Crisis Operations Group
Chaired by the Under-Secretary-General of the Department of Safety and Security, composed of representatives from all major departments, offices and agencies, funds and programmes
Implementation of crisis preparedness and response
Organizational resilience management system working group
Chaired by the Department of Management and the Business Continuity Management Unit and composed of representatives from the Department of Safety and Security, the Office of Information and Communications Technology, the Office of Human Resources Management, the Department of Peacekeeping Operations/Department of Field Support and the Office for the Coordination of Humanitarian Affairs

44. Other departments and offices of the Secretariat, the functional commissions, the regional commissions and other bodies of the United Nations are responsible for implementing the organizational resilience management system in accordance with the policy and procedures approved by the senior emergency policy team. A formal structure, already in place for the purposes of security and business continuity management, will be responsible for implementing the organizational resilience management system at each United Nations duty station. At offices away from Headquarters, such structures will have similar responsibilities to the Crisis Operations Group at Headquarters, which is responsible for crisis, decision-making

and its implementation in accordance with the policy directives of the senior emergency policy team. The Crisis Operations Group is chaired by the Under-Secretary-General for Safety and Security and comprised of personnel from key administrative and support functions at Headquarters, including representatives from the specialized agencies, funds and programmes based in New York. The Crisis Operations Group is supported by the Crisis Management Support Unit of the Department of Safety and Security.

45. The Department of Management, which includes the majority of the offices responsible for the organizational resilience management system, plays the leading role in the implementation of the system. It is responsible for leading the policy development, integration, planning and implementation of the emergency management framework. It is also responsible for providing updates to the Crisis Operations Group on a regular basis on the status of implementation and for obtaining the endorsement of the Emergency Policy Team, when necessary. The Department cooperates closely and consults with other departments of the Secretariat, the specialized agencies, funds and programmes on the initiative.

46. The Business Continuity Management Unit of the Department of Management is responsible, as part of its support role to the senior emergency policy team, for leading the working group (see para. 48 below) tasked with all aspects related to the development and implementation of the organizational resilience management system.

47. Regarding the governance structure for the organizational resilience management system at the field level, the United Nations country teams would adopt a similar two-tiered governance structure as is implemented at Headquarters. A two-tiered structure ensures that there is: (a) a high-level body responsible for policy decisions regarding emergency management; and (b) an operational level body that is responsible for implementation of decisions and actual emergency management operations. The security management team is a suitable entity for policy level decision-making at the country-team level, although decisions on the most suitable mechanism and entities for the governance of the emergency management framework would rest with each United Nations country team.

# VII. Implementation

## A. Implementation of the organizational resilience management system at United Nations Headquarters

48. At its meeting on 29 June 2010, the senior emergency policy team, which is responsible for crisis decision-making at Headquarters, approved an organizational resilience management system policy, describing the purpose, governance structure and deliverables of the proposed system. A working group, consisting of representatives of the Department of Management, the Department of Safety and Security, the Department of Peacekeeping Operations and the Department of Field Support, including representatives from the United Nations Population Fund (UNFPA), the United Nations Children's Fund (UNICEF) and UNDP, was established and tasked with the development of a pilot for the implementation of the organizational resilience management system at Headquarters. The working group, which is chaired by the Business Continuity Management Unit of the Department of

Management, provided the lead in the implementation of the emergency management system in New York, using the five-step cycle described in section IV of the present report. Details on mandated actions by function and how they will be implemented are reflected in the annex to the report.

49. The first step of the five-step cycle (the policy establishment phase) was completed with the approval of the policy by the senior emergency policy team at its meeting on 29 June 2010. Subsequently, the working group used the risk assessment included in the Headquarters business continuity plan (also approved by the senior emergency policy team on 29 June 2010) and conducted an impact assessment for Headquarters, analysing priority risks and deriving risk management actions, as part of the second step, related to planning. The working group also assigned roles and responsibilities for action by management and developed an annual maintenance, exercise and review programme, which was endorsed by the Crisis Operations Group, which is responsible for the implementation of crisis management at Headquarters.

50. The third step constitutes the implementation phase. To supplement the organizational resilience management system policy document and to further the overall implementation, the working group developed a more detailed organizational resilience management system policy and implementation guide, outlining the mandates, their implementation and roles and responsibilities. The implementation guide is contained in the annex to this report. To facilitate implementation, departments and offices at Headquarters have also been engaged to incorporate appropriate risk management actions into their biennial budgets, including the acquisition of sufficient telecommuting licences (Citrix licences) to ensure continuity of their critical functions.

51. United Nations Headquarters completed step four through the conduct of an emergency management exercise in November of 2011 and the testing of telecommuting capabilities by individual departments. These processes are still ongoing, however, because emergency management set-ups need to be continuously tested and exercised and improvements to the Organization's preparedness continuously implemented. The senior emergency policy team conducted the final fifth step of the five-step cycle when it reviewed and endorsed the organizational resilience management system as the emergency management framework for the United Nations on 11 November 2010. This endorsement validated the five-step cycle and laid the foundation for the full implementation of the organizational resilience management system throughout the United Nations system.

52. In parallel, the Department of Peacekeeping Operations, the Department of Field Support and the Department of Political Affairs, in close coordination with the Department of Management, initiated the implementation of the organizational resilience management system at field presences on a pilot basis. In April 2011, a training course for 22 field mission staff from 15 missions of the Department of Political Affairs and the Department of Peacekeeping Operations was conducted. Although the course focused on business continuity planning, a presentation on the organizational resilience management system as the overarching emergency management framework was also made at the training course. Second, the above-mentioned Departments briefed at least six field missions during support visits on the development of crisis management and business continuity planning arrangements on the organizational resilience management system framework. In all

instances, the new emergency management framework received positive feedback as to its usefulness for the effective coordination and integration of different ongoing preparedness planning initiatives, including crisis management planning, business continuity planning, IT disaster recovery planning and medical planning.

53. On 12 June 2012, a pilot organizational resilience management system exercise was conducted in Nicosia, Cyprus. The exercise was developed by the Department of Peacekeeping Operations/Department of Field Support's focal point for security and the Business Continuity Management Unit and Medical Services Division of the Department of Management. Its aim was to simultaneously test the United Nations Peacekeeping Force in Cyprus (UNFICYP) crisis management, business continuity, medical mass casualty, IT disaster recovery, staff and family support and security plans. The exercise also led to the establishment of an exercise planning template for implementation at other peacekeeping missions directed by the Department of Peacekeeping Operations and support centres directed by the Department of Field Support as well as at other entities of the Secretariat. Comprising UNFICYP senior and mid-level management from all mission components and several representatives of the specialized agencies, funds and programmes in Cyprus, the exercise was facilitated by the focal point of the Department of Peacekeeping Operations/Department of Field Support for security and the Business Continuity Management Unit and Medical Services Division of the Department of Management and supported through videoconference by the Field Personnel Division of the Department of Field Support and the Emergency Preparedness and Support Team of the Department of Management. During both preparation for and conduct of the exercise, the mission was able to harmonize its family of emergency management plans, thereby demonstrating the benefit of coordinated planning under the emergency management framework.

## B. Implementation of a resilient information and communications technology infrastructure at the United Nations Secretariat in New York

54. In its resolution 66/246, the General Assembly approved initiative 4, Create a resilient information and communications technology infrastructure, with a request that implementation be funded from existing resources. The initiative involves requirements for a unified disaster recovery and business continuity plan for the Secretariat and a permanent solution for Headquarters.

55. In annex I of his report on the emergency management framework aspect of the organizational resilience management system (A/66/516), the Secretary-General presented a list of 76 applications designated as critical at Headquarters. Of those, a total of 25 applications were identified as enterprise-critical while the rest were used only by one department. In addition, a table detailed which applications will be backed up at the secondary data centre in Piscataway, New Jersey, and which will be available through telecommuting capabilities (Citrix mobile office).

56. In its resolution 63/269, the General Assembly requested the Secretary-General to ensure that the United Nations uses enterprise data centres rather than local data centres as far as possible. As a result, the Secretariat's strategy has been shifting towards the enterprise management of ICT infrastructure. As indicated in the report of the Secretary-General on enterprise information and communications

technology initiatives (A/66/94), the United Nations Logistics Base at Brindisi, Italy (UNLB) is scheduled to host enterprise applications such as iNeed, Umoja and Inspira. In addition, the United Nations Support Base in Valencia, Spain (UNSBV) is to be designated as a mirror site to UNLB. The Secretary-General recognizes that the presence of local data centres will continue to be required for unique local applications, although with a smaller footprint. Decisions on which applications will move to the enterprise data centres rather than to local ones will be made in close coordination with the relevant departments and the Business Continuity Management Unit.

57. The timeline for the implementation of initiative 4 has been presented in the Secretary-General's report on enterprise information and communications technology initiatives for the United Nations Secretariat (A/66/94, figure VIII). For the biennium 2012-2013, the following planned activities are being implemented: (a) tools to reduce storage growth and to archive e-mails; (b) setting up of UNLB to host enterprise applications and create local resilience; (c) setting up UNSBV to mirror UNLB; and (d) enterprise server and storage management tools. For the biennium 2014-2015, the following activities are to be implemented: (a) migrate local server rooms to enterprise or local data centres; and (b) harmonize resilience across all data centres.

58. Owing to the number of critical applications presently being hosted in both the primary data centre in the North Lawn Building and the secondary data centre in Piscataway, the Office of Information and Communications Technology, in coordination with the Secretariat's crisis management structure, has been reviewing operational requirements to ensure continuity of those applications in the event of a crisis under the umbrella of the organizational resilience management system. It is therefore envisioned that the secondary data centre in Piscataway will continue to be needed until the end of 2016 for all critical applications not migrated to enterprise data centres, including local critical applications and legacy enterprise applications, and that a reduced and a more permanent solution will be put in place effective 1 January 2017.

59. The lease of the secondary data centre in Piscataway has been extended for 30 months beyond 31 December 2011, in accordance with the decision of the General Assembly in its resolution 66/247, in which it also decided that the lease extension would be funded from within existing resources.

## C. Implementation of the organizational resilience management system at United Nations offices away from Headquarters and field missions

60. Now that the emergency management framework has been implemented at Headquarters, the framework will be extended to offices away from Headquarters and field missions. To that end, the working group will produce a detailed guidance document with suggestions on how to best implement the framework and provide hands-on assistance when requested.

61. It is expected that by the end of 2013 all United Nations locations and field missions will have initiated the implementation of the emergency management framework.

### D. Implementation of the organizational resilience management system at United Nations agencies, funds and programmes

62. It is recognized that there is an acute need for all entities of the United Nations system to accelerate progress in ensuring a comprehensive, coordinated and consistent approach to resilience management, covering the full spectrum of functions related to the preparedness, response and post-response periods. At the operational level, collaboration between the Secretariat and the entities of the United Nations common system is under way, in addition to already established mechanisms in relation to emergency management, including the Medical Services Division, the United Nations Medical Emergency Response Team and the United Nations security management system. In an effort to scale up the organizational resilience management system, a formal consultative process, through the Secretary-General's Policy Committee, the highest decision-making body within the Secretariat, will be utilized, seeking the endorsement of the recommendation to implement the organizational resilience management system across the United Nations system. It is suggested that once the endorsement of the Policy Committee is received it should be put forward by the Secretary-General to the United Nations System Chief Executives Board for Coordination for further deliberation and the agreement of its High-level Committee on Management, including, where appropriate, the endorsement of the Human Resources Network and the Inter-Agency Security Management Network.

63. To extend the implementation of the organizational resilience management system to the specialized agencies, funds and programmes, the working group plans to conduct a pilot exercise at an integrated field mission, where all of the specialized agencies, funds and programmes are placed under the leadership of the field mission. Once a successful pilot exercise has been carried out, the working group will develop recommendations for the roll-out of the framework to all United Nations country teams. It is foreseen that the extension of the emergency management framework to the specialized agencies, funds and programmes will commence in 2013.

## VIII. Action to be taken by the General Assembly

64. **The General Assembly is requested to approve the organizational resilience management system approach as the emergency management framework.**

# Annex

## Organizational resilience management system: implementation guide

| *Organizational resilience management system function* | *Actions* | *Responsible Department/Entity* |
|---|---|---|
| **Governance** | All departments of the Secretariat, as well as the regional commissions, offices away from Headquarters and the Department of Peacekeeping Operations and Department of Political Affairs field missions, are expected to comply with the organizational resilience management system policy (endorsed by the senior emergency policy team in June 2010) | Senior emergency policy team (global)<br><br>Crisis Operations Group (New York) |
| | The Business Continuity Management Unit chairs the working group of the organizational resilience management system, which is leading the implementation of the system in the Secretariat | |
| | All members of the Crisis Operations Group are responsible for implementing the system in their respective departments | |
| **Crisis management and incident response** | All departments of the Secretariat are required to implement their own crisis management plan with support from the Department of Safety and Security | Department of Safety and Security |
| | • All departments must appoint a crisis management focal point | |
| | • With the help of the departmental crisis management focal point, all departments must complete their crisis management templates | |
| | • All departments must ensure continued maintenance of their departmental crisis management plans | |
| **Business continuity** | All departments of the Secretariat are required to ensure continuity of their critical functions and processes and continued maintenance of their components in the overall Secretariat business continuity plan, with support from the Department of Management and the Business Continuity Management Unit | Department of Management/Business Continuity Management Unit |
| | • All departments must appoint a business continuity focal point | |
| | • With the help of the departmental business continuity focal point, all departments must complete their business continuity templates | |

| *Organizational resilience management system function* | *Actions* | *Responsible Department/Entity* |
|---|---|---|
| | • All departments must ensure continued maintenance of their business continuity plans<br>• All departments must implement different mitigation strategies in line with assigned recovery time objectives in order to ensure continuity of critical functions under all circumstances | |
| **Information technology disaster recovery** | In accordance with the criteria for application detailed in the Secretariat information technology disaster recovery plan and with support from the Office of Information and Communications Technology, all departments of the Secretariat are expected to identify critical applications and implement a plan to ensure their continuity | Department of Management/Office of Information and Communications Technology |
| **Medical mass casualty planning** | All Secretariat locations are required to develop a medical mass casualty plan, with support from the Department of Management and the Medical Services Division | Department of Management/Medical Services Division |
| **Staff and family support** | • Provide and coordinate essential human resources support to staff survivors and the families of those who may perish or be injured as a result of malicious acts, natural disasters or other emergencies. Build internal capacity to enhance the Organization's response and crisis management through training programmes for emergency support roles (family focal points and call centre volunteers, managers and supervisors)<br>• Prepare and make available emergency preparedness and operational guidelines and checklists for human resources practitioners, managers and staff at all duty stations<br>• Promote personal and professional preparedness of staff and managers to enhance their sense of security, personal and family well-being and readiness for all hazardous events | Department of Management/Office of Human Resources Management/Emergency Preparedness and Support Team |
| **Maintenance, exercise and review** | The Crisis Operations Group and the senior emergency policy team are responsible for ensuring that the crisis management structure is tested through a full simulation at least annually<br>All departments are required to ensure that their components of the crisis management plan and the business continuity plan are tested at least once per calendar year | Department of Safety and Security, Department of Management/Business Continuity Management Unit, Office of Information and Communications Technology, Department of Management/Medical Services Division, |

| *Organizational resilience management system function* | *Actions* | *Responsible Department/Entity* |
|---|---|---|
| | The Office of Information and Communications Technology is responsible for testing its information technology disaster recovery arrangements at least once per calendar year<br><br>Crisis management simulation<br><br>• All members of the Crisis Operations Group and the senior emergency policy team must participate in an annual crisis management simulation exercise<br><br>Call tree<br><br>• Each Department must exercise their call trees at least once per calendar year<br><br>Telecommuting test (denial of access)<br><br>• Each department must conduct a test of their telecommuting capability at least once annually to ensure continuity of critical functions remotely<br><br>Functional technology<br><br>• The Office of Information and Communications Technology, together with all departments, must conduct an annual functional technology test (for example a fail-over test to backup data centre) | Department of Management/Office of Human Resources Management/Emergency Preparedness and Support Team |
| **Training and awareness** | The working group of the organizational resilience management system must ensure general awareness of staff of crisis management and business continuity arrangements and general emergency procedures of the Organization<br><br>The working group must ensure that staff with emergency management responsibilities are properly trained<br><br>• Include information on the organizational resilience management system and emergency procedures in induction courses for new staff members<br><br>• Include information on the organizational resilience management system and emergency procedures in relevant training provided by the Department of Management/Office of Human Resources Management and the Department of Safety and Security | Organizational resilience management system working group |

| *Organizational resilience management system function* | *Actions* | *Responsible Department/Entity* |
|---|---|---|
| | • Issue iSeek articles on status of organizational resilience and new developments in crisis management, business continuity, medical and staff and family support<br>• Include the organizational resilience management system in the greening of the Headquarters and other relevant initiatives<br>• Conduct surveys to test staff knowledge and awareness of the organizational resilience management system | |